

JSC Policy Directive

JPD 2200.1B

EFFECTIVE DATE: October 20, 2005

EXPIRATION DATE: October 20, 2010

RESPONSIBLE OFFICE: IA/Information Resources Directorate

SUBJECT: Release of JSC Scientific and Technical Information to External Audiences

1. PURPOSE. This Policy Directive describes policies and responsibilities for release of JSC-funded or -sponsored scientific and technical information (STI) through print and non-print (e.g., electronic) media to audiences external to JSC and its contractors. External audiences are persons or groups not employed by JSC, by its contractors, or by International Partner organizations that have agreements with JSC or are represented in JSC working groups.

2. APPLICABILITY. This Policy Directive applies to:

2.a. JSC personnel such as:

2.a(1) Authors and speakers, even when their coauthors are not employed by JSC.

2.a(2) Reviewers and approving officials of the information covered by this Policy Directive.

2.a(3) Personnel who process, record, and publish the information.

2.b. Contractor and grantee authors and speakers:

2.b(1) Whose agreements with JSC or whose internal company regulations require NASA review or approval of STI.

2.b(2) Who wish to have reports published in the NASA Scientific and Technical Reports Series.

3. SCOPE. STI is defined as the results of basic and applied research and development. Related management and historical information may also be considered STI. All NASA STI must be approved before external release in all formats and media. Common examples of external releases are:

*3.a. NASA Scientific and Technical Report Series publications, whether publicly available or restricted to specific audiences (e.g., NASA personnel only). Report types are described in NASA Procedural Requirements (NPR) 2200.2.

3.b. Presentations (whether or not they are accompanied by written material) and papers for professional meetings such as symposia, seminars, and conferences.

3.c. Articles for journals or other collections of professional papers.

*3.d. Books, parts of books, or theses published outside NASA.

3.e. STI to be posted electronically to publicly accessible computer servers or networks.

NOTE: Information released to International Partners during the course of an international cooperative program is excluded from the scope of this Directive. It is reviewed by the appropriate program office as directed by the NASA Export Control Program.

4. POLICY. Two of NASA's four crosscutting processes are to "generate knowledge" and to "communicate knowledge." According to the "2003 NASA Strategic Plan," "This knowledge is provided to scientists, engineers, and technologists in industry, academia, and other organizations," and these processes "reflect the first and most basic part of NASA's mission statement." To ensure the widest and most appropriate dissemination of knowledge, it is NASA policy to review STI produced by and for the Agency, thus confirming the integrity of the information and protecting information that should not be generally disseminated. This review includes export control considerations.

4.a. Official Review and Approval. JSC-authored STI is reviewed and approved before external release to ensure (1) conformance to NASA policy, (2) technical accuracy, (3) adherence to publications policy and standards, and (4) appropriate dissemination or availability category. Approvals are documented (see Table 1) on JSC Form (JF) 548, "JSC Approval of Scientific and Technical Information for External Release" and/or NASA Form (NF) 1676, "NASA Scientific and Technical Document Availability Authorization (DAA)." Approval is not official until all required signatures have been obtained; therefore, authors must initiate forms with adequate lead time and all reviewers must process approval forms promptly.

***TABLE 1. FORMS USED FOR APPROVAL REQUESTS**

Form Required	Originator	Highest Signature Required
JSC Form 548*	JSC author (with or without contractor coauthors)	Officials-in-Charge of Directorates and Program Offices, or delegate
NASA Form	Contractor or grantee author (with no	Officials-in-Charge

1676*	JSC coauthor) Project Manager or Technical Monitor requesting blanket release Any author of a paper with restricted availability (e.g., export control limitations, NASA only)	of Directorates and Program Offices, or delegate
*Submit in triplicate 6 weeks before release (10 weeks if foreign travel is involved)		

NOTE: Authors may not serve as technical reviewers or approvers of their own papers.

4.b. Disapproval. Any reviewer who denies approval of a proposed release will return the approval package to the author or requester with written reasons for disapproval. Authors or their management may appeal disapprovals to the next higher level reviewer. Authors may modify the information or change the availability category and resubmit the information with a new form and a summary of modifications.

4.c. Blanket Approval of Specific Projects. When all information produced under a specific project, contract, or grant will be disseminated under the same availability category (e.g., “Publicly Available”), the responsible organization may elect to initiate a request for blanket approval on NF 1676. Because this blanket approval applies to availability category only, civil servants are still required to initiate JF 548, and contractors to initiate NF 1676, for individual papers within the project for reviews of NASA policy and technical accuracy. Export control review, however, and any other review for availability, will not be necessary for the individual papers under projects with blanket approvals.

*4.d. Appropriate Dissemination Considerations. Dissemination refers to both the initial distribution and the long-term availability of the information. Authors should determine whether the information to be released can be made publicly available right away or should be restricted to a limited audience. Approval requests for restricted information must be accompanied by NF 1676, with the appropriate dissemination category marked. Approval by Officials-in-Charge and export control personnel includes approval of the availability category. The decision to limit the availability of information may be based on one or more of the following considerations:

*4.d(1) Export Control Limitation. All STI must be reviewed by authorized JSC Export Control personnel before release in any form (e.g., print, electronic, oral presentation) to foreign audiences or to audiences that may include foreign nationals, either in the United States or abroad. Export control limitation notices must accompany information restricted by Export Administration Regulations (EAR) and International Traffic in Arms Regulations (ITAR). (See NPR 2200.2, paragraphs 4.5.3 - 4.5.7, for EAR and ITAR definitions and required notices.) Export limitations are marked in block 3 and approved in block 8 of NF 1676.

*4.d(2) Confidential Commercial Information. STI that contains trade secrets, is produced under the Small Business Innovation Research (SBIR) Program, or contains material copyrighted by a contractor or grantee may be restricted to a specific audience (such as NASA personnel and NASA contractors only). (See NPR 2200.2, paragraphs 4.5.8 – 4.5.12, for definitions and notices.) The availability category and appropriate restriction must be marked in block 3 of NF 1676.

*4.d(3) Invention Information. Documents disclosing an invention must be reviewed by the JSC Patent Counsel, who assigns the appropriate release date and signs block 4 of NF 1676. (See NPR 2200.2, paragraph 4.5.16.)

4.d(4) Technology Development. If a new technology has commercial potential, regardless of whether it is confidential, commercial, or patented, descriptive information must be reviewed by the Technology Transfer and Commercialization Office before external release.

*4.d(5) Copyrighted Information. Works authored by Government employees as part of their official duties cannot be copyrighted in this country (17 USC 105). Therefore, JSC employees have no authority to copyright a work or transfer copyright to a publisher. They may, however, sign a block on copyright transfer forms certifying that the work was prepared as part of their official duties. Contractors and grantees generally may copyright works produced under Government funding or sponsorship, subject to a nonexclusive Government license under the copyright. Along with the copyright notice on such works, an acknowledgment of Government support must be included. If distribution of copyrighted material is to be restricted, the author must indicate the restriction in block 3 of NF 1676. (See NPR 2200.2, paragraph 4.5.13.)

4.d(6) Security Classification. Authors and their managers must make sure that their information is marked with the proper security classification. Classified information can be released only to persons with appropriate security clearances. The JSC Security Office can answer questions about security classification of information.

4.e. Other Policies.

*4.e(1) Electronic Release. Releases of STI through publicly accessible servers or networks such as the Internet are subject to the review and approval policies in this Directive, even if the information is not released in printed form or does not have a report number. However, STI intended for Internet release should be reviewed carefully for suitability to the NASA Scientific and Technical Report Series by Publications personnel and assigned a number, if appropriate. When the release does not include an abstract and is not the equivalent of a traditional printed one-time publication, a description that includes purpose, major contents, and expected frequency of change must be attached to the request for approval.

4.e(2) Oral Disclosure. Speakers must adhere closely to the approved abstract or written version of their talks and avoid inadvertent release of any proprietary, privileged, export controlled, or otherwise restricted information in discussion periods.

4.e(3) Authorship. Anyone who receives co-authorship credit must actively participate in, or contribute significantly to, the research and report preparation.

4.e(4) Travel. Travel related to speeches or presentations must be authorized according to JSC Policy Directive 9710.1, "Delegation of Authority to Authorize or Approve Domestic Travel," and the "Official Travel Handbook," dated January 1995. If travel is to a foreign country, authors must initiate paper approval requests 10 weeks before the travel date so that they can submit a copy of the approved form(s) along with NF 1167 in their travel requests.

4.e(5) External Billing. Any costs for allowable page charges, for additional reprints of journal articles, or for copies of publications by JSC authors are the responsibility of the author's division or directorate.

4.e(6) Printing. All commercially procurable printing will be obtained through a Government Printing Office (GPO) regional office in accordance with the Government printing and binding regulations. If deviations are necessary, approval must be granted by the Center Director and the JSC Printing Officer.

5. REFERENCES.

5.a. NPD 2200.1, "Management of NASA Scientific and Technical Information."

*5.b. NPR 2200.2, "Guidelines for Documentation, Approval, and Dissemination of NASA Scientific and Technical Information."

5.c. "NASA Export Control Program" Policy at
<http://www.hq.nasa.gov/office/oer/nasaecp/>.

5.d. NASA Federal Acquisition Regulation (FAR) Supplement, 1827.407-70; 1827-070.

*5.e. NPR 1490.1, "NASA Procedures and Guidelines for Printing, Duplicating, and Copying Management."

*5.f. NPR 5800.1, "Grant And Cooperative Agreement Handbook."

***6. RESPONSIBILITIES.**

NOTE: Because approval is not considered final until all required reviews are complete, all personnel must carry out their responsibilities promptly.

*6.a. Officials-in-Charge of JSC Directorates and Program Offices are responsible for final approval of each proposed JSC STI release and for selection of the appropriate dissemination (availability category). These officials are also responsible for reviewing STI for adherence to NASA policy and for concurring in or approving of selection of technical reviewers. These responsibilities may be delegated to division chief levels.

6.b. The JSC Technology Transfer and Commercialization Office has jurisdiction over release and distribution of computer programs and over STI describing new, patentable or commercially confidential technologies.

6.c. The Center Export Administrator (CEA), in coordination with the Center Export Counsel as required, will assist program and project personnel in reviewing STI for export control considerations. The CEA may delegate this responsibility to trained export control representatives (ECRs) in specific programs or organizations.

6.d. JSC contract and grant officers will include the following in contracts and grants.

6.d(1) The appropriate reporting requirements:

6.d(1)(a) For contracts are found in the NASA FAR Supplement (subparts 1827.406-70, Reports of Work, and 1852.235-70, Center for AeroSpace Information).

6.d(1)(b) For grants are found in NPR 5800.1, "Grant and Cooperative Agreement Handbook" (subpart 1260.21).

6.d(2) The stipulation that a copy of each final technical report (for contracts) or final summary of research (for grants) be forwarded to JSC Publications Services.

6.d(3) The stipulation that information to be published in the NASA Scientific and Technical Report Series must first be reviewed by the appropriate JSC officials and submitted to JSC Publications Services.

6.e. JSC Division Chiefs or managers at the equivalent level are responsible for review and approval of STI to be released by personnel in their organizations and for selecting or approving technical reviewers for the information.

6.f. JSC contract and grant technical monitors or officers must approve contractor results to be published in the NASA Scientific and Technical Report Series, and other information as stipulated by the applicable contract or grant. NF 1676 is used to indicate approval unless the contractor has a civil service coauthor (in which case the civil service author initiates JF 548).

6.g. Technical reviewers are responsible for determining the technical accuracy and value of the information. These technical reviewers are selected for their technical expertise in a discipline. They need not be employed by NASA or any other Government agency or contractor.

6.h. Authors are responsible for:

6.h(1) Determining if information is subject to release restrictions as described in 4.d. above.

6.h(2) Requesting official review and approval before external release of STI resulting from work sponsored or funded by JSC. When at least one author is a civil service employee, request for approval is made on JF 548. If the availability of the information is restricted, NF 1676 is attached to JF 548. Contractor authors with no civil service coauthors request approval for either restricted or publicly available information using NF 1676. All approval request forms should be submitted in triplicate 6 weeks before release is planned (10 weeks if foreign travel is involved).

6.i. JSC Publications Services interprets Agency regulations applicable to this Policy Directive, records and retains records of approved JF 548's and NF 1676's, and reviews information proposed for release in the NASA Scientific and Technical Reports Series.

7. RESCISSION. JPD 2200.1A, dated October 21, 2004, is rescinded. Paragraphs with substantive changes are marked with an asterisk (*).

(Original signed, October 20, 2005)

Jefferson D. Howell, Jr.
Director

DISTRIBUTION:
JDMS